

# HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

GSF98-01

First Named Inventor or Application Identifier

Walter H. Gunzburg

Express Mail Label No.

EM012186761US

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 44]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets 10]
4. Oath or Declaration / POA [Total Pages ]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
(Note Box 5 below)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

### ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503) (2)  
(Should be specifically itemized)
14. ☐ Small Entity ☐ Statement filed in prior application, Status still proper and desired
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other: .....

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☒ Continuation

☐ Divisional

☐ Continuation-in-part (CIP)

of prior application No: PCT / EP96/03922

### 18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

21005

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

NAME

David E. Brook, Esq.

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SIGNATURE

Anne J. Collins

DATE

March 5, 1998

# HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

<b>FEE TRANSMITTAL FOR PATENT APPLICATIONS</b>	Attorney Docket Number	GSF98-01	
	Application Number		
	First Named Inventor	Walter H. Gunzburg	

  

CLAIM CALCULATION (includes any preliminary amendment)

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS	
	TOTAL CLAIMS <small>(37 CFR 1.16(c))</small>	40	- 20 =	20	x \$ 22 =	\$ 440.00
	INDEPENDENT CLAIMS <small>(37 CFR 1.16(b))</small>	3	- 3 =	0	x \$ 82 =	\$
	MULTIPLE DEPENDENT CLAIMS (if applicable) <small>(37 CFR 1.16(d))</small>				+ \$ 270 =	\$
					BASIC FEE <small>(37 CFR 1.16(a))</small>	\$ 790
	Total of above Calculations =					\$ 1,230.00
	Reduction by 50% for filing by small entity <small>(37 CFR 1.9, 1.27, 1.28)</small> =					\$
	TOTAL =					\$ 1,230.00
	Surcharge - Fee for Late Filing of Declaration <small>(37 C.F.R. 1.16(e))</small> =					\$
	Petition for Extension of Time Fee <small>(37 C.F.R. 1.17)</small> =					\$
	Assignment Recordation Fee =					\$
TOTAL =					\$ 1,230.00	

  

1. Small entity status:
  - a. ☐ A small entity statement is enclosed.
  - b. ☐ A small entity statement was filed in the prior non-provisional application and such status is still proper and desired.
  - c. ☐ Is no longer claimed.
2. ☒ A general authorization is hereby granted to charge deposit account number 08-0380 for any fees required under 37 CFR 1.16 and 1.17 in order to maintain pendency of this application. A copy of this authorization is enclosed for accounting purposes.
3. ☒ A check is enclosed for \$ 1,230.00      ☐ Please charge \$ \_\_\_\_\_ to Deposit Account No. 08-0380.
4. ☐ Other: \_\_\_\_\_

  

Submitted by Typed or Printed Name	Anne J. Collins	Reg. Number	40,564
Signature	<i>Anne J. Collins</i>	Date	March 5, 1998

005596-005596

GSF9801.CDN

K:\ACOLLINS\AJC75:WP7

05/11/98  
05/11/98  
U.S. PTO  
1998

PATENT APPLICATION

Docket No.: GSF98-01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Walter H. Günzburg, Robert M. Saller and Brian Salmons

Application No.: 09/035,596 Group Art Unit: 1642

Filed: March 5, 1998

For: THE USE OF THE WAP OR MMTV REGULATORY  
SEQUENCES FOR TARGETED EXPRESSION OF LINKED  
HETEROLOGOUS GENES IN HUMAN MAMMARY CELLS,  
INCLUDING HUMAN MAMMARY CARCINOMA CELLS

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States  
Postal Service with sufficient postage as First Class Mail in an envelope addressed to  
Assistant Commissioner for Patents, Washington, D.C. 20231

on May 6, 1998 Karen DiLoreo  
Date Signature

KAREN DiLoreo  
Typed or printed name of person signing certificate

RECEIVED

REQUEST FOR CHANGE OF DOCKET NUMBER

MAY 18 1998

MATRIX CUSTOMER  
SERVICE CENTER

Customer Correction Office

05/14/1998 ABRITT 00000001 09035596  
Assistant Commissioner for Patents

01 FC:576 25.00 OP  
Washington, D.C. 20231

Sir:

Applicants' Attorney requests that the docket number of record for the above-  
referenced case be changed to GSF98-01A. This request is made to better identify this  
application within our offices.

D. Clark

09/035,596

-2-/

A check in the amount of \$25.00 is enclosed. Please charge any additional fees that may be due in this matter to Attorney's Deposit Account No. 08-0380. A copy of this letter is enclosed for accounting purposes.

Respectfully submitted,

  
\_\_\_\_\_  
Anne J. Collins

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Date: *May 6, 1998*